AMES LABORATORY CONTENT MANAGEMENT PROCEDURE

This procedure outlines the Ames Laboratory's electronic Content Management system for the electronic archiving of official records.

1.0 APPROVAL RECORD

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The official approval record for this document is maintained in the Training, Documents & Records Management Office, 151 TASF.

2.0 REVISION/REVIEW INFORMATION

The revision description for this document is available from and maintained by the author.

3.0 PURPOSE AND SCOPE

Content Management is a system used to provide authorized Ames Laboratory employees an efficient means to view, retrieve and securely store electronic records. Also, by transitioning from paper-based records to electronic, the Ames Laboratory is able to significantly reduce paper usage and physical storage requirements.

3.1 Definitions

- **Official Personnel File:** Record that contains information pertaining to an individual's employment with the Ames Laboratory. OPFs contain personally identifiable information and must be protected from unauthorized access.

- **Employee Training File**: Record of individual's training history throughout the course of employment with the Laboratory.

- **Versatile Enterprise System:** Database that contains inventory and location information for all Ames Laboratory records.

- **Kofax:** Document capturing software used to create electronic images, group them, and export as a completed image.

- **Content Management:** Web-based IBM records storage program. Electronic records are stored here.

- **Legacy files:** Non-current records regarding Laboratory business or employee information. Legacy files are often stored in an obsolete format and must be converted to a currently used format.

- **AccessPlus:** ISU's secure and confidential web information system for students and employees. Content Management is accessed through AccessPlus.

- **Records Holding Area:** Storage facility for archived records in physical form. Meets DOE and NARA requirements for a records storage facility.

4.0 ROLES AND RESPONSIBILITIES

4.1. Human Resources

The Human Resources (HR) Office is responsible for maintaining all active employee official personnel files (OPFs). HR staff will use Kofax to scan and release forms to Content Management as they are created for each employee. Once forms are scanned, they will be quality checked to ensure no information is excluded and that the scanned images are legible. HR staff will bring physical OPFs to the Training, Documents & Records Office for storage as they become inactive.

4.2. Training, Documents & Records Office

The Training, Documents & Records (TDR) Office is responsible for maintaining all employee training files (ETFs). TDR staff will retrieve and scan inactive ETFs into Content Management using Kofax. TDR staff will also quality check all of the scanned images to ensure no information is excluded and that the scanned images are legible before indexing and moving the physical file to the Records Holding Area.

Periodically TDR staff will be responsible for retrieving and scanning legacy files into Content Management when requested for an Energy Employee Occupational Illness Compensation Act claim or by other authorized offices within Ames Laboratory, Iowa State University or the Department of Energy.

4.3. Environment, Safety, Health & Assurance

The Environment, Safety, Health & Assurance (ESH&A) Office will use Kofax to scan health and safety records into Content Management as necessary. ESH&A staff will quality check scanned images to ensure no information is excluded and that the scanned images are legible before bringing the physical records to the TDR Office.

5.0 PREREQUISITE ACTIONS AND REQUIREMENTS

5.1. Kofax License

All departments that will be scanning documents to be released to Content Management must purchase a Kofax license for each station. Once the license is acquired, the department must work with the Records Management Coordinator and ISU's IT department for set up.

5.2. Permissions for Users

Documents archived in Content Management are accessed through ISU's AccessPlus system. Therefore, permissions must be granted by ISU's IT department for all users that will be viewing electronic documents through Access Plus. Each user will have permissions for only those documents that are necessary for their job functions.

5.3. Indexes in Content Management

For each department and type of document, indexes need to be set up in Content Management to allow for effective storage and retrieval. The indexes will be the fields that are searchable for a set of documents, such as employee number, purchase order number, waste disposal site name, etc. When a department is preparing to integrate a new set of documents into Content Management, they must work with the TDR Office and ISU IT to establish appropriate indexes.

6.0 PROCEDURE INFORMATION

6.1. Official Personnel Files

The Human Resources (HR) Office is responsible for maintaining and securely storing all active official personnel files (OPFs). When able, HR staff will use electronic forms that can be stored in Content Management for current active employees. Any physical forms received will be scanned using Kofax as they are created. Each individual document will be indexed by form type, validation date, employee name and number, and then released to Content Management. Additional documents will be added as necessary during employment. Active employee OPFs will only be accessible to HR staff. Once employment is terminated, the employee will become inactive and their file will be accessible to TDR staff as well. The physical file will then be transferred to the TDR Office to be indexed in the Versatile Enterprise System and taken to storage in the Ames Laboratory's Records Holding Area.

6.2. Employee Training Files

When TDR staff receive an inactive OPF, they will retrieve the corresponding employee training file (ETF), scan it using Kofax, and release it to Content Management. HR and TDR staff will be the only departments with access to ETFs in Content Management. After scanning and quality checking, the ETFs will be indexed in the Versatile Enterprise System and taken to storage in the Ames Laboratory's Records Holding Area.

6.3. ESH&A Records

As Environment, Safety, Health & Assurance employees create or identify records that should be digitally archived, they will use Kofax to scan and release the documents to Content Management.

6.4. Other Ames Laboratory Records

The Content Management Procedure will be implemented in other departments and applied to other Ames Laboratory records as the program expands.